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博 士 学 位 论 文

公共服务质量奖励机制设计

Design Mechanisms of Public Service Quality Award

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摘 要

21 世纪是质量的世纪，质量改进已经成为当代公共管理改革的根本目标之一。作为最有效的质量改进手段，“质量奖”一直是质量管理研究和政府改革创新关注的焦点，并在激励组织间竞争与学习、提升服务质量方面起到了突出作用。自新公共管理运动产生以来，藉由完善的公共服务质量奖励机制来促进政府部门进行公共服务质量的改进与创新，以提升国际竞争力，成为各国政府共同的做法。但是，由于“质量奖”根源于私营部门，如果将建立在追求利润之上的质量奖项及其评估框架与测评体系直接引入公共部门，必将会造成片面追求获奖、创新的不可持续性等一系列问题。在推进服务型政府建设的过程中，我国政府也逐步认识到建立质量改进机制的重要性。但相比国外而言，我国公共服务质量奖励机制的理论研究与实践经验都较为欠缺，系统的公共服务质量奖励机制还未形成，国家层面的公共服务质量奖项亟待设立。

本研究在委托-代理理论、公共服务动机理论、以及经典质量模型与服务测评标准等基础上，立足于我国公共服务质量奖励领域的现状，通过梳理和借鉴国内外若干“公共服务质量奖”的典型实践及经验，尝试构建了适用于我国现实国情的公共服务质量奖励机制的理论框架和运行模式，并对“中国公共服务奖”的具体方案内容及相关制度安排进行了设计。这不仅能为我国公共服务质量的持续改进提供理论依据和实践指导，同时也给各级地方政府的公共服务奖励活动提供了有力的技术支撑和充足的动力源泉。具体来说，在以下几方面有所贡献：

第一，在文献分析、案例分析的基础上，围绕公共服务质量奖励机制的相关理论进行了全面系统的研究，界定了以“公共服务质量奖”为核心的公共服务质量奖励机制的概念，并在修正的“波特-劳勒综合激励模型”基础上构建了公共服务质量奖励机制的理论框架。针对公共组织中的监督成本问题，本文提出：通过隐性激励的方式驱动代理人的公共服务动机，以促进公共服务质量的持续改进，从而为“公共服务过程中的委托-代理问题”这一理论困境提出新的解决路径。

第二，通过比较分析和深度访谈等研究方法，进一步梳理和挖掘了“公共服

务质量奖”的演变历程，从国家质量奖诞生，到卓越质量奖的过渡阶段，再到公共服务质量奖的专业化发展。首次将现有公共服务质量奖划分为“创新奖”和“服务奖”两种类型，并提炼总结现有奖项设计的共同特征，如：中央政府的高度支持、评估模型的三大来源、指标设计的趋同等等。此外，通过比较“联合国公共服务奖、欧洲公共部门奖、美国地方政府创新奖、台湾政府服务品质奖”等典型实践的做法与经验，提出设计“中国公共服务奖”的思路，如：奖项设计兼具“拔尖”和“鼓励”，年度议题随公共服务发展状况而改变，积极利用大众传媒工具进行自我营销和成果扩散等。

第三，在问卷调查、专家咨询等研究方法和灵活性、透明性、规范性、公正性、专业性等原则指导下，完成了公共服务质量奖励机制的基本模式设计和“中国公共服务奖”的具体方案构想，包括：“准官方”性质的主办机构选择，兼具完整性和公开性的内部设置——“三会”（组委会、评委会、监督委员会）“两审”（专业评审和大众评审）；在综合考量评选议题与评奖流程的基础上，设置“优秀奖”、“杰出奖”、“年度奖”等多样化的评奖类型；“推荐制”与“自主报名”并列的参赛方式、配合联合国公共服务周庆典的举办时间、公民参与渠道广泛的评选程序；易测量性与易描述性的评价体系；科学合理的制度安排与管理办法等举措。

第四，摒弃传统的服务质量评价模型，以不同视角剖析公共服务过程，从“服务产出过程”和“服务提供主体”两个维度进行考量，并将服务产出过程划分为“投入”与“产出& 结果”两个阶段，配合“窗口服务部门”与“后台服务部门”两类服务机构，使用层次分析法（AHP）、关键绩效指标法（KPI）等数据分析方法，从指标初选到问卷设计，再到实证遴选、信效度检测、权重分配、赋予分值等，研究设计了一套趋于完善的指标体系，其中包含：6个层次18个三级指标的“后台服务部门”的指标评分体系，与7个层次22个三级指标的“窗口服务部门”的指标评分体系，并通过实证检验论证了指标体系的科学性和实用性。

第五，在“质量改进是质量管理过程中最重要环节”这一普遍共识基础之上，创造性的提出“公共服务质量奖是最有效的质量改进手段”这一论点。传统的政府质量管理方式侧重于事后改进，具有“秋后算账”的性质。而“公共服务质量奖”作为质量改进的“事前激励”手段，避免了质量管理的滞后性，对于服务提

供者（公共服务机构）和服务接受者（公民）而言都具有重要价值。通过不同项目的奖励实践，前者可以针对性解决不同阶段的服务质量问题，逐步降低机构运行成本与业务执行成本，有计划的控制服务质量、改善服务结果，并形成持续改进服务质量的组织文化。同时，优质公共服务的提供，间接的保护了后者利益，防止了产生损害公民利益的负担，不断满足变化着的顾客需要（心理需要、用户友好需要、知情需要）等。

整体来看，本文在系统梳理国内外理论研究现状和实践活动进展的基础上，完成了公共服务质量奖励机制的设计与检验。理论层面上，这是国内第一篇有关公共服务质量奖励机制的博士论文，具有较强的突破性和创新性，既是对公共服务质量奖励理论的系统梳理，又是对公共服务质量改进的工具创新。实践层面上，这是一套可以普遍适用的系统管理方法，具有较强的可操作性，政府机构、学校、医院、或任何其他公共机构都可以应用这套方法来改善服务提供的过程，满足利益相关者的需要，从而实现公共服务质量的持续改进。

关键词：公共服务；公共服务动机；公共服务质量；公共服务质量奖

Abstract

The Twenty-first Century is the century of quality, and quality improvement has become one of the fundamental goals of modern public management reform. As the most effective tool of quality improvement, Quality Award has been the focus of quality theory study and government reform and innovation, which contributed significantly to the promotion of mutual learning and competition among public organizations, and the improvement of public service quality. It has become common all over the world to use the effective Mechanisms of Public Service Quality Award (PSQA) to encourage the improvement and innovation of public service and advance international competitiveness since the New Public Management Movement. After all, Quality Award is rooted in the private sector, and built on the premise of profit maximization. If the private sector's assessment framework and evaluation system are directly applied to the public sector, the Quality Award will lead to a series of problems, such as the sole pursuit of award-winning, unsustainable innovation, etc. In the process of promoting the construction of service-oriented government, China has gradually realized the importance of quality improvement mechanism. In contrast, the theoretical research and the practical experience of Mechanisms of PSQA in our country are relatively deficient, the systemic Mechanisms of PSQA has not been developed and China's Quality Award at national level has not to been established yet.

Taking this as a starting point, the dissertation constructs a theoretical framework and basic mode of Mechanisms of PSQA based on principal-agent theory, public service motivation theory, as well as the classical quality assessment models and service quality evaluation criteria, and design of a specific plan of "China Public Service Award". This research not only provides a theoretical basis and practical guidance for continuous improvement of China's public service quality, but also presents a strong technical support and sufficient power source to the reward activities of local governments at all levels. The specific contributions are following:

First, it presents a systematic research on the related theories and defines the core concepts of Mechanisms of PSQA based on literature analysis and case analysis, which also constructs a theoretical framework of Mechanisms of PSQA based on the modified "Potter - Lawler comprehensive incentive model". Focus on the supervision

cost in the public organization, the dissertation proposing a new solution to solve the theoretical dilemma of principal-agent problem by implicit incentive mode of PSQA, in order to promote the continuous improvement of public service quality.

Second, through comparative analysis interview, it analyses the rise, development and the latest trends of PSQA. After comparing the typical practice and experience of “United Nations Public Service Award, the European Public Sector Award, The Innovations in American Government Award, and Government Service Quality Award in Taiwan”, it provides some initial ideas for the design of “China Public Service Award”, such as: award design to meet the needs of both “top-notch” and “encouragement”, annual issue changed with the development of public service, and use mass media actively.

Third, it establishes the basic model of Mechanisms of PSQA, accomplishes the specific content of “China Public Service Award”, including: a quasi-official organizer, institutional design of “three committees” (the organizing committee, executive committee, supervision committee) and “two reviews” (the professional review and public review), and establishment of comprehensive evaluation issues and award process, the scientific selection process and institutional arrangement with broad citizen participation, which under the principles of flexibility, transparency, standardization, fairness, and professionalism and the study method of questionnaire investigation and expert consultation.

Fourth, abandons the traditional service quality evaluation model, analyses the public service process from different perspectives of “service process” and “service provider”, divides the service process into two dimensions: “input” and “output & outcome”, designs a set of updated assessment index system for “backstage departments” and “window departments”. The former contains 6 first level indices and 18 second level indices; the latter contains 7 first level indices and 22 second level indices. Finally, completes the empirical tests.

Five, based the general consensus of “quality improvement is the most important step in the process of quality management”, it proposes the idea of “PSQA is the most effective tool of quality improvement”. The traditional ways of government quality management focus on the improvement of hindsight. As an incentive mode of beforehand, PSQA means to avoid the lag of quality management, and has important value to both the service providers (public sectors) and service recipients (citizen).

The former can solve the quality problems in different development stage, and gradually reduce the operation cost and implement cost of institutions, improve the service control, and shape the organizational culture of continuous improvement through different projects of rewards. At the same time, it protect the interests of the latter, prevent the damage of burdens to the citizens, and continuously meet the changing needs of customers (psychological needs, user friendly, informed need) by delivering excellence public service.

Overall, on the premise of a comprehensive review of theoretical research and practice progress, this paper has completed the design and test of Mechanisms of PSQA. On the theoretical level, this is the first doctoral dissertation on the Mechanisms of PSQA, with a strong breakthrough and innovation, is not only to the public service quality incentive theory systematically, and is a tool innovation for public service quality improvement. On the practical level, this is a universally applicable systemic management method, with a strong operational. Government agencies, schools, hospitals, or any other public institutions can apply the method to improve the service, to meet the needs of stakeholders, in order to achieve continuous improvement in public service.

Key Words: Public Service; Public Service Motivation; Public Service Quality; Public Service Quality Award

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